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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/601,955	06/23/2003	Jiang-Liang Hou	251408-1010	8845
24504	7590	12/15/2005	EXAMINER	
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			ART UNIT	PAPER NUMBER
			2163	

DATE MAILED: 12/15/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 10/601,955	Applicant(s) HOU ET AL.	
	Examiner Helene R. Rose	Art Unit 2163	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 23 June 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 23 June 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date <u>23 June 2003</u> | 6) <input type="checkbox"/> Other: _____ |

Detailed Action

1. Claims 1-30 have been presented for examination.
2. Claims 1-30 have been rejected.

Claim Rejections – 35 U.S.C – 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1- 30 are rejected under 35 U.S.C. 102(e) as being anticipated by Gilmour et al (US Publication Number 2001/0013029).

Claims 1 and 25:

Regarding claims 1 and 25, Gilmour teaches a method for managing information (page 4, paragraph [0057], wherein a knowledge management system is a structured organization of tasks, estimates, and guidelines that provide a systematic approach, Gilmour) including word codes (page 4, paragraph [0056], wherein acronym, word, collect of words, phrase, sentence, and so forth are examples of word codes, Gilmour), comprising an access-authorization process for authorizing (page 1, paragraphs [0009] and [0010], wherein a first electronic document is received via network and is parsed to identify a first profile, wherein the first profile term is included within a first profile for first entity and so forth, Gilmour), according to a reference-file (page 5, paragraph [0067], wherein the lexicon controller is utilized to record those in special association tables within the repository database shown in Figure 6, all features, Gilmour), at

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least one of multiple function-units (see Figure 8, diagrams 164, 168, and 170, wherein they represent the function units), to be an authorized function-unit having access to an object document which is in a known category (see page 10, paragraph [0118], Gilmour) and provided by a known document-issuer (page 10, paragraph [0118], wherein the target user is the document issuer) said document including plural word codes (see Figure 6, diagram 104, Gilmour), said access-authorization process (see Figure 18C, all features, wherein knowledge access server is utilized, Gilmour) comprising at least one of the following three sub-processes:

searching said reference-file (page 7, paragraph [0098], wherein a record of which terms occurred within the document, Gilmour) for a first authorization-record including frequency-numbers each representing the frequency (see Figure 6, diagram 112, wherein the first authorization record is the user term table wherein the function-numbers are listed in diagram 114 (user id includes unique keys for each entry or record within table) each representing the frequency which is diagram 116 (term id) being authorized to access documents in diagram 120 (doc id which stores keys of various documents, Gilmour) that different one of said function-units has been authorized to have access to the documents provided by said known document-issuer (see Figure 6, diagram 112, wherein the user id is listed within the user table, diagram 90 illustrating that each user id (includes a name) are located in different departments (A,B,C, and D) and wherein diagram 130 illustrates the user id (includes a name) are linked to a document id (includes a document), Gilmour), and selecting (page 3, paragraph [0051], Gilmour), according to said first authorization-record, at least one said function-unit to be said authorized function-unit (see Figure 6, diagram 116 (term id) can an authorized function unit because it has access/affiliated to documents id shown in diagram 124, Gilmour)

searching said reference-file for a second authorization-record including the frequency-numbers each representing the frequency (see Figure 8, diagram 120, wherein the second authorization record is the term document table, and the frequency numbers is a machine adjust the level of confidence (diagram 118 located in table 112) wherein each confidence representing the frequency according to diagram 122 (term id) to indicate how relevant the term is coupled to the user also see page 7, paragraph [0097], Gilmour) that a different one of said function-units has been authorized to have access to the documents in said known category, and selecting (page 3, paragraph [0051], Gilmour), according to said second authorization-record, at least one said function-unit to be said authorized function-unit (page 7, paragraph [0097], wherein the first record within table 120 records the term "network: occurred within a document "email 1" 2.8 times, Gilmour);

identifying at least a crucial key word code from said object document (see Figure 6, diagram 104, wherein the crucial key word is defined and page 8, paragraph [0109], wherein binding strength indicates how closely the term is coupled to the electronic document), searching said reference-file for a third authorization-record (see Figure 6, diagram 130) including the frequency-numbers each representing the frequency (see Figure 6, diagram 120, Gilmour) that a different one of said function-units has been authorized to have access to the documents including said crucial key word code (see Figure 120, diagrams 122 and 124, Gilmour), and selecting (page 3, paragraph [0051], Gilmour), at least one said function-unit to be said authorized function-unit (see Figure 6, diagram 130 wherein the entry is based on a user having access to the authorized function-unit and page 8, paragraph [0099], wherein this association may be based upon the user being the author or recipient of the relevant document, Gilmour).

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Claim 2:

Regarding claim 2, Gilmour teaches wherein said crucial key word code is a word code selected (page 3, paragraph [0051], Gilmour) by said known document-issuer from the abstract of said document (page 4, paragraph [0056]).

Claim 3:

Regarding claim 3, Gilmour teaches wherein selecting, according to said first authorization-record, at least one said function-unit to have access to said object document, comprises:

comparing the frequency-numbers in said first authorization-record to a criteria-frequency-number, to identify each said function-unit which has been authorized, for at least a frequency represented by said criteria-frequency-number (page 3, paragraph [0052], wherein the terms are identify and compared to the number of user knowledge wherein the pre-determined degree of correspondence is detected and Gilmour), to have access to the documents provided by said known document-issuer (page 10, paragraph [0118], wherein access is granted to a public portion is known and known by the target user (document issuer), Gilmour), whereby the identified function-unit is selected to have access to said object document (page 10, paragraph [0118], wherein access to a private portion is selective meaning it has to be authorized, Gilmour).

Claim 4:

Regarding claim 4, Gilmour teaches wherein selecting, according to said second authorization-record, at least one said function-unit to have access to said object document, comprises:

comparing the frequency-numbers in said second authorization-record to a criteria-frequency-number, to identify each said function-unit which has been authorized for at least a frequency represented by said criteria-frequency-number (page 3, paragraph [0052], wherein the terms are identify and compared to the number of user knowledge wherein the predetermined degree of correspondence is detected, Gilmour) to have access to the documents in said known category (page 10, paragraph [0118], wherein access is granted to a public portion is known and known by the target user (document issuer), Gilmour), whereby the identified function-unit is selected to have access to said object document (page 10, paragraph [0118], wherein access to a private portion is selective meaning it has to be authorized, Gilmour).

Claim 5:

Regarding claim 5, Gilmour teaches wherein selecting, according to said third authorization-record, at least one said function-unit to have access to said object document comprises:

comparing the frequency-numbers in said third authorization-record to a criteria-frequency-number, to identify each said function-unit which has been authorized for at least a frequency represented by said criteria-frequency-number (page 3, paragraph [0052], wherein the terms are identify and compared to the number of user knowledge wherein the predetermined degree of correspondence is detected, Gilmour) to have access to the documents including said crucial key word code (page 10, paragraph [0118], wherein at decision box 258 is being described and see Figure 6, diagram 112, wherein the user id has access to the term id which includes the term identifier, Gilmour).

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Claim 6:

Regarding claim 6, Gilmour teaches wherein said access-authorization process further comprises:

forming a list to contain each said authorized function-unit (page 1, paragraph [0009], wherein a constructing a profile comprising terms of a characteristic of an entity, see Figure 16B, wherein a list contain each authorized function-unit and page 10, paragraph [0120], wherein each unrestricted and restricted access is displayed and Gilmour);

requesting a response of said authorized function-unit to said object document; and modifying said list according to said response (page 5, paragraph [0063], wherein a request by an authorized system administrator to configure the behavior of the knowledge gathering system, Gilmour).

Claims 7 and 29:

Regarding claims 7 and 29, Gilmour teaches wherein said access-authorization process (page 1, paragraphs [0009] and [0010], wherein a first electronic document is received via network and is parsed to identify a first profile, wherein the first profile term is included within a first profile for first entity and so forth, Gilmour) further comprises at least two of the following three steps (a), (b), and (c), in addition to step (d):

(a) performing a first mathematical operation between a provider weight value (see Figure 11, diagram 212 and page 9, paragraph [0110], wherein weight value is determined, Gilmour) and said frequency-numbers included in said first authorization-record to obtain a group of provider-based authorization-reference values respectively corresponding to different ones of said function-units (see Figure 12, diagram 220, wherein the number of occurrences are specified in the different group of classes (A,B,C,D,E, and F) according to each weight value, Gilmour);

(b) performing a first mathematical operation between a category weight value (page 9, paragraph [0111], wherein the count value for each term is calculated) and said frequency-numbers included in said second authorization-record to obtain a group of category-based authorization-reference values respectively corresponding to different ones of said function-units (see Figure 16A, diagram 112, wherein frequency numbers are the confidence values shown in the user knowledge profile obtained from the public portion and private portion, Gilmour);

(c) performing a first mathematical operation between a crucial-key-word weight value (page 9, paragraph [0111] and [0112], wherein any adjusted values exist for the relevant term as a result of the occurrences of the term is previously received and analyzed documents, and if so, such previous documents are summed, Gilmour) and said frequency-numbers included in said third authorization-record to obtain a group of crucial-key-word-based authorization-reference values respectively corresponding to different ones of said function-units (page 9, paragraph [0113], wherein confidence level values for various terms may be grouped into classes, Gilmour);

(d) selecting, according to at least two of the three groups of said authorization-reference values, at least one said function-unit to have access to said object document (see Figure 17B, all features and page 11, paragraph [0125], wherein facilitating access to a user profile, wherein a document term within an electronic document generated by user, Gilmour).

Claim 8:

Regarding claim 8, Gilmour teaches wherein said first mathematical operation is multiplication (page 9, paragraph [0115], wherein multiplication is utilized, Gilmour).

Claim 9:

Regarding claim 9, Gilmour teaches wherein step (d) comprises: performing a second mathematical operation between said authorization-reference values which are respectively in

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different ones of said at least two of the three groups and correspond to the same one of said function-units (page 9, paragraph [0115], wherein the binding strength value may be multiplied by the document weight value and the term weight value may be multiplied by the document weight value, Gilmour), to obtain a group of compound-reference values respectively corresponding to different ones of said function-units (see Figure 12, diagram 220, wherein the reference values are the confidence values within the prior art being utilized and the function units are defined as A,B,C,D,E, and F, Gilmour); and

comparing said compound-reference values with a compound-reference-criteria value to identify each said function-unit corresponded by one said compound-reference value larger than said compound-reference-criteria value (page 10, paragraph [0118], wherein the confidence level be greater than a threshold value, Gilmour), whereby the identified function-unit is selected to have access to said object document (see Figure 18A, diagrams 412, and 422, may be selected to have access, Gilmour).

Claim 10:

Regarding claim 10, Gilmour teaches wherein said second mathematical operation is addition (page 11, paragraph [0122], wherein the respective term is added to a notification list, Gilmour).

Claim 11:

Regarding claim 11, Gilmour teaches wherein step (d) comprises: performing a second mathematical operation between said authorization-reference values which are respectively in different ones of said at least two of the three groups and correspond to the same one of said function-units (page 9, paragraph [0115], wherein the binding strength value may be multiplied by the document weight value and the term weight value may be multiplied by the document

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weight value, Gilmour), to obtain a group of compound-reference values respectively corresponding to different ones of said function-units (see Figure 12, diagram 220, wherein the reference values are the confidence values within the prior art being utilized and the function units are defined as A,B,C,D,E, and F, Gilmour) ; and

identifying each said function-unit corresponded by one said compound-reference value which, in order of magnitude among all said compound-reference value (page 10, paragraph [0118], wherein the confidence level be greater than a threshold value, Gilmour), is within a compound-reference-criteria range, whereby the identified function-unit is selected to have access to said object document (see Figure 17A, wherein the access is granted to the object document and page 11, paragraph [0124], wherein the process is further described, Gilmour).

Claim 12:

Regarding claim 12, Gilmour teaches wherein the sum of said weight values in said at least two of three steps (a), (b), and (c) is one (page 9, paragraph [0115], wherein the document weight value is assigned to a document, Gilmour).

Claim 13:

Regarding claim 13, Gilmour a method further comprising a category-classification process including:

identifying at least a key word code of said object document (see Figure 6, diagram 104, wherein in term id is associated with tem, Gilmour); and

designating said known category according to the identified key word code (see Figure 7, wherein a category "private" is designated, Gilmour).

Claim 14:

Regarding claim 14, Gilmour teaches wherein identifying at least a key word code of said object document, comprises:

counting the frequency each word code of said object document appears in said object document, to obtain an appearing frequency of each word code of said object document (see Figure 8, diagram 154 and refer to diagrams 168 and 170, Gilmour); designating an arbitrary word code of said object document as a candidate key word code if the appearing frequency of said arbitrary word code meets a reference condition (see Figure 15A, all features, wherein determining the confidence level value of term, Gilmour); and

searching a key-word-reference database for a reference code corresponding to said candidate key word code, and determining, in case said reference code is searched out (see Figure 15B, diagram 1266 and 1268, wherein a time period is checked, Gilmour), whether or not said candidate key word code is the key word code according to an attribute of said reference code (see Figure 15B, diagrams 1272, 1274, and 1276, wherein the term is checked to be in reference, Gilmour).

Claim 15:

Regarding claim 15, Gilmour teaches wherein said reference condition is such that said arbitrary word code is designated as a candidate key word code if the appearing frequency of said arbitrary word code is larger than a key-word-criteria value (see Figure 21, diagram 578, Gilmour).

Claim 16:

Regarding claim 16, Gilmour teaches wherein said key-word-criteria value is the average of the appearing frequencies of all the word codes of said object document (page 10, paragraph

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[0116], wherein the average is used to calculate the document weight term, and the document weight term consist of multiplying the confidence level value of term and page 4, paragraph [0055], wherein the number of occurrences of the term within the electronic document, Gilmour)

Claim 17:

Regarding claim 17, Gilmour teaches wherein said reference condition (see Figure 20, all features wherein reference condition is utilized, Gilmour) is such that the arbitrary word code is designated as a candidate key word code if the appearing frequency of the arbitrary word code in order of magnitude among said appearing frequencies of all the word codes of said object document is within a frequency-order-criteria-range (see figure 20, all features and page 14, paragraph [0144], wherein a range is determined, Gilmour).

Claim 18:

Regarding claim 18, Gilmour teaches wherein the reference code corresponding to said candidate key word code includes said candidate key word code and an attribute, and said candidate key word code is determined to be a key word code if the attribute of said reference code is represented by a first symbol (see Figure 11, all features, wherein and page 9, paragraph [0110], Gilmour)

Claim 19:

Regarding claim 19, Gilmour teaches wherein the reference code corresponding to said candidate key word code includes said candidate key word code and an attribute (see Figure 11, all features and page 9, paragraph [0110], wherein P, indicates lexicon term, L indicates universal term, and U indicates unknown grammatical structure) and said candidate key word code is determined to be a key word code unless the attribute of said reference code is represented by a second symbol (page 9, paragraph [0110] and see Figure 11, all features,

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wherein A indicates adjectives, and V, indicates verbs, and X, indicates unknown part of speech, Gilmour)

Claim 20:

Regarding claim 20, Gilmour teaches wherein said key-word-reference database includes a key-word-code list and a non-key-word-code list, said candidate key word code is determined to be a key word code if said candidate key word code is on said key-word-code list, and determined to be not a key word code if said candidate key word code is on said non-key-word-code list (page 15, paragraph [0153], wherein an interactive/non-interactive column is presented and a record for a third party within a user table indicates the user table being a non-interactive user, Gilmour)

Claim 21:

Regarding claim 21, Gilmour teaches wherein designating said known category comprises:

searching a key-word-code-to-category-mapping table for a category-code corresponding to the identified key word code, whereby said known category is designated said category-code (see Figure 6, diagram 100, wherein the term is associated with term id and see Figure 15A, wherein term is designated to its category, Gilmour).

Claim 22:

Regarding claim 22, Gilmour teaches wherein designating said known category according to the identified key word code (page 6, paragraph [0069, wherein the case controller is utilized, Gilmour), further comprises:

notifying said known document-issuer (or document-provider) if more than one category-code is searched out of said key-word-code-to-category-mapping table to correspond to the identified key word code (see Figure 15B, all features, Gilmour)

Claim 23:

Regarding claim 23, Gilmour teaches wherein the frequency one of said function-units has been authorized to have access to the documents provided by said known document-issuer, is the times the one of said function-units has been authorized to have access to the documents provided by said known document-issuer (page 6, paragraph [0076], wherein each case gets an expiration date set by the inquirer and notification options regarding how the inquirer wants to be told about the disposition of the case and so forth, Gilmour).

Claim 24:

Regarding claim 24, Gilmour teaches wherein the frequency one of said function-units has been authorized to have access to the documents provided by said known document-issuer (see Figure 19, all features, wherein managing a user authorization to publish, or permit access to, a user knowledge profile, Gilmour), is a first times-number divided by a second times-number, with said first times-number being the times the one of said function-units has been authorized to have access to the documents provided by said known document-issuer (page 10, paragraph [0119], wherein the first user knowledge profile, Gilmour, and said second times-number being the sum of the times that all said function-units have been authorized to have access to the documents provided by said known document-issuer (page 10, paragraph [0119], wherein the second user knowledge has a public and private portion, Gilmour).

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Claim 26:

Regarding claim 26, Gilmour teaches a apparatus applied to an information management system in which at least one of multiple function-units is selected to be an authorized function-unit having access to an object document that includes word codes, is in a known category, and is provided by a known document-issuer, said apparatus comprising a data-storage portion having a database residing thereon, said database comprising at least one of the following two authorization-records:

a first authorization-record including the frequency-numbers each representing the frequency that a different one of said function-units has been selected to have access to the documents provided by said known document-issuer (see Figure 6, wherein the user term table is the first authorization record and Figure 17D, wherein the access is granted to documents by the target user (document issuer), Gilmour); and

a second authorization-record including the frequency-numbers each representing the frequency that a different one of said function-units has been selected to have access to the documents in said known category (see Figure 17E, all features, wherein the selected features have access, Gilmour).

Claim 27:

Regarding claim 27, Gilmour teaches a apparatus further comprising an operational portion for selecting, according to at least one of said two authorization-records, at least one of said function-units to be said authorized function-unit having access to the object document (see Figure 19, all features, wherein an portion for selection needs authorization, Gilmour).

Claim 28:

Regarding claim 28, Gilmour teaches wherein said database further comprises a third authorization-record including the frequency-numbers each representing the frequency that a different one of said function-units has been selected to have access to the documents (see Figure 17D, all features, wherein a target user allowed access, Gilmour) including at least a crucial key word code of said object document (see Figure 6, diagrams 100 and 120, wherein a key word is defined and indicated within the term document table shown as term id (which includes all terms) and document id (which includes all documents, Gilmour).

Claim 30:

Regarding claim 30, Gilmour teaches wherein said data-storage portion is a memory readable by said operational portion (see Figure 23, diagrams 614,615, and 620, Gilmour).

Prior Art Made of Record

1. Gilmour (US Publication No. 2001/0013029) discloses a method of constructing a profile comprising terms indicative of a characteristic of an entity commences when first electronic mail address, associated with a first entity, is created within a knowledge management system, wherein the electronic mail address may be created automatically upon submission of an electronic mail document, or may be created manually by a systems administrator. It further comprise wherein a first electronic document is received via an electronic communications network at the first electronic mail address from a second entity, typically a user of the knowledge management system who is a registered and interactive user, then the first electronic document is parsed to identify profile terms therein.
2. Schneck et al (US Patent No. 6,314,409) discloses a method and device that are provided for controlling access to data, wherein portions of the data are protected and rules concerning access rights to the data are determined. Access to the protected portions of the data is prevented, other than in a non-useable form; and users are provided access to the data only in accordance with the rules as enforced by a mechanism protected by tamper detection.
3. Bessette (US Publication No. 2001/001682) discloses provides a network system for storage of medical records, wherein the records are stored in a database on a server. Each record includes two main parts, a collection of data elements containing information of medical nature for the certain individual, and a plurality of pointers providing addresses or remote locations where reside other medical data for that particular individual, wherein each record comprises a data element indicative of the basic type of medical data found at the location pointed to by a particular pointer.

Point of Contact

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Helene R. Rose whose telephone number is (571) 272-0749. The examiner can normally be reached on 8:00 am - 4:30 pm Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic can be reached on (571) 272-4023. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Helene R Rose
Technology Center 2100
December 8, 2005

